

CR/2152

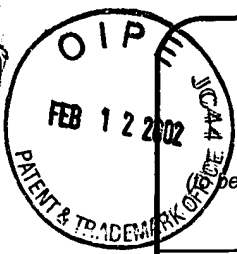
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PTO/SB/21 (08-00)

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TRANSMITTAL FORM

Be used for all correspondence after initial filing)

Application Number	09/993,888
Filing Date	November 27, 2001
First Named Inventor	Mark E. Pennell
Group Art Unit	2152
Examiner Name	not yet known
Attorney Docket Number	10005.000110

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Total Number of Pages in This Submission

6 **

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Response
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter

☒ Other Enclosure(s) (please identify below):

Form PTO/SB/08;
Copies of Listed References:
[3 US Application(s)];
Return receipt postcard

Remarks

** does not include pages for listed references

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Patrick D. Benedicto, Reg. No. 40,909 DEGUZMAN OKAMOTO & BENEDICTO, LLP
Signature	Patrick Benedicto
Date	January 23, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 01/23/02

Typed or printed name	Patrick D. Benedicto
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#6



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Mark E. Pennell, et al.

Serial No. 09/993,888

Examiner: not yet known

Filed: November 27, 2001

Art Unit: 2152

Title: Method and Apparatus for
Defeating a Mechanism that Blocks
Windows

Atty. Dkt. No.: 10005.000110

Commissioner of Patents
Washington, DC 20231

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INFORMATION DISCLOSURE STATEMENT

Under 37 C.F.R. §1.56 and §§1.97-98

Sir:

Pursuant to the provisions of 37 CFR 1.56 and §§1.97-98, enclosed herewith is form PTO/SB/08 (substitute for form 1449A/PTO) listing references which may be material to the examination of this application, and with respect to which there may be a duty to disclose. The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

A copy of each listed reference is enclosed herewith, unless no such copy is required pursuant to 37 CFR § 1.98(d).

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. [SERIAL NUMBER], filed on [FILING DATE], and the references cited therein are hereby listed but are not required to be provided in this application under 37 CFR § 1.98(d).

Pursuant to 37 CFR §1.97, this Information Disclosure Statement is being submitted under the section indicated below.

☒ 37 CFR §1.97(b).

☐ 37 CFR §1.97(c). If so, then either:

☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:

☐ each item of information contained in this Information

Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR

☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56 (c) more than three months prior to the filing of this Statement.

OR

☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).

☐ 37 CFR § 1.97(d). If so, then both:

☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:

☐ each item of information contained in this Information

Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR

☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.

AND

☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).

Consideration of the listed references and favorable action are respectfully solicited.

Respectfully submitted,

Mark E. Pennell, et al.

Dated: 1-23-02

By: Patrick D. Benedicto

Patrick D. Benedicto

Attorney For Applicant(s)

Reg. No. 40,909

DEGUZMAN OKAMOTO & BENEDICTO LLP

P.O. Box 51900

Palo Alto, CA. 94303

Tel.: (650) 691-2030

Fax: (650) 691-2032

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Signature:	<u>Patrick D. Benedicto</u>		
Typed or Printed Name:	Patrick D. Benedicto	Dated:	Jan. 23, 2002
Express Mail Mailing Number (optional):			

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

Complet if Known

Application Number	09/993,888
Filing Date	November 27, 2001
First Named Inventor	Mark E. Pennell
Group Art Unit	2152
Examiner Name	not yet known
Attorney Docket Number	10005.000110

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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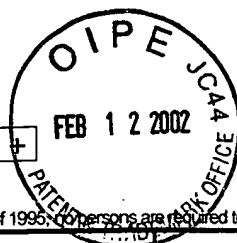
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Signature**

Date
Considered

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 2

Complete if Known

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Filing Date	November 27, 2001
First Named Inventor	Mark E. Pennell
Group Art Unit	2152
Examiner Name	not yet known
Attorney Docket Number	10005.000110

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	A	US Application No.09/993,887, Filed on November 27, 2001, by Jax B. Cowden, et al.	
	B	US Application No.09/993,906, Filed on November 27, 2001, by Jax B. Cowden, et al.	
	C	US Application No.09/993,904, Filed on November 27, 2001, by Jax B. Cowden, et al.	

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¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

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